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RECENT AUSTRALIAN ARMY EXPERIENCE IN THE DESIGN AND IMPLEMENTAT--ETC(U)  
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Research Note 3/81

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## RECENT AUSTRALIAN ARMY EXPERIENCE IN THE DESIGN AND IMPLEMENTATION OF PERSONNEL EVALUATION SYSTEMS.

by

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May 81

APPROVED

DTIC  
SELECTED  
AUG 03 1981

This Directorate of Psychology publication has been prepared by  
1 Psychological Research Unit and is authorised for issue by DPSYCH-A.

MAY 1981

ISSN 0156-8817

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4-10-118 818 03 014

### Abstract

Many of the issues facing the designers of a personnel evaluation system are common. The present paper describes recent Australian Army experience in the design and implementation of systems of evaluation for officers and soldiers. Two separate project teams developed the systems and their solutions are discussed in terms of their similarities and differences. Among the issues dealt with are the aims of evaluation, an open or closed system, forms of assessment, rating scales, reliability, validity and long term effectiveness. While the proposed systems contain much that is similar, there were significant differences in the approach taken by each project team. Comparisons are summarised in tabular form. Also included are copies of the appraisal documents and a selected bibliography.

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The findings and views expressed in this Research Note are the result of the author's research studies and are not to be taken as the official opinion or policy of the Department of Defence (Army Office).

## INTRODUCTION

Regardless of the organisational setting a good deal of the issues facing the designers of personnel evaluation systems are common. Possibly the most widely discussed is the extent to which the system is closed or open. Probably of more concern to the psychologist are questions of reliability and validity of the instruments employed but more generally of the system as a whole. Related to these considerations is the extent to which the evaluative processes incorporate objective and/or subjective data: how are the subjective elements controlled or minimised? If the techniques of staff appraisal are to be used what methods are most appropriate? Who assesses whom, under what circumstances and in what fashion? If rating scales are to be part of the system, how does one select the scales and what rules govern their content, layout, format and style? The foregoing are largely questions of design, but what of implementation? The system will be ineffective if it is not widely accepted in the organisation and the primary users do not understand its aims and objectives. The system will fail if it is not actively supported at the highest organisational level. Finally, how does one ensure that the system will remain effective, in the long term?

Within the Australian Army in two separate major reviews, these issues have been recently addressed. During 1976/78 a Project Team studied the "Confidential Report - Other Ranks" and proposed a new system of evaluation for soldiers.<sup>1</sup> The implementation of this system is almost complete. During 1979/80 the Officer Evaluation Study Team was tasked to research and recommend a system of evaluation for Officers.<sup>2</sup> While it will be approximately two years before this system is fully implemented, the new reporting document and other supporting sub-systems will be in service by July 1981. While there is much that is similar in these two personnel solutions, there are some significant differences both in approach and in the elements of each proposal. It is intended to discuss these in relation to the issues raised above, in particular emphasising similarities and differences between the two projects.

## AIM

The aim of this paper is to outline and discuss recent Australian Army experiences in the design and implementation of personnel evaluation systems. In particular the paper will deal with:

- a. the reasons for and structure of the reviews.
- b. the aims of evaluation.
- c. approaches taken.
- d. open or closed system.
- e. forms of assessment.
- f. selection and use of rating scales.
- g. reliability and validity.
- h. proposed systems.
- i. long term effectiveness.

A bibliography is attached along with copies of the two reporting instruments developed for introduction into service (Annexes A, B and C).

#### REASONS FOR AND STRUCTURE OF THE REVIEWS

Each review team was assembled for different reasons but the overall structure of each review was similar.

##### Soldier Review

The existing system of evaluation of soldiers had suffered from what Brumback (1972) complained of: he had "seen too many armchained appraisal forms." Several times the basic appraisal document had been changed without any accompanying overall review of the requirements for the evaluation of the soldier. The roles of evaluation were not definitive and there was evidence of a lack of confidence in the system, perhaps brought about by the implementation of rapid uncoordinated change. The soldier review was designed to right this situation by taking both a broad and comprehensive approach in examining and implementing an agreed policy with respect to the appraisal<sup>3</sup> of soldiers.

The project team consisted of two officers, one, a general service officer and the other a psychologist. This team worked to two project managers, one from the 1 Psychological Research Unit and the other from the Directorate of Personnel Employment (DPE: the organisation responsible for the career management of soldiers). The team's report was forwarded to DPE.

##### Officer Review

In 1978 the Regular Officer Development Committee (RODC) in bringing down its report, recommended that the system of officer evaluation be thoroughly examined. It noted that the basic reporting document, which had remained virtually unchanged for some 25 years, did not have a clearly defined objective. The RODC was concerned that a system instituted in the 1950's may not be meeting the needs of today's service. For these reasons, along with other reservations the RODC had about the current system of officer evaluation<sup>4</sup>, the officer evaluation study was recommended and later formed, to examine the requirements for and to propose a new officer evaluation system. The RODC saw as an essential element to their own proposals for officer development, the provision of accurate and reliable information through the officer evaluation system.

Similar to the soldier review, the officer project team consisted of a general service officer and an Army Psychologist. For this two man team, a member of the Directorate of Personnel Plans (the policy Directorate for Army personnel) was principal manager but the team was also assisted by a member from each of the Directorate of Psychology and the Office of the Military Secretary (the latter Office being the executive with respect to officer career management). The officers' team reported to the Promotion and Selection Committee which made recommendations to the Chief of the General Staff.

#### AIMS OF EVALUATION

The two teams differed in respect of the aims of evaluation.

##### Soldier Review

Part of the soldier team's task was to determine the roles that the revised reporting form should take. From a survey of career managers and units it was determined that the future roles of the form should be (in order):

- a. to assess promotion potential.
- b. to identify strengths and weaknesses.
- c. to provide performance feedback.
- d. to determine training and development needs to prepare for future assignments (see A26A Policy Report, 1977, Vol 1, page 28, paragraph 27).

Policy guidance was then requested from DPE, after the team analysed these roles more fully, to specify what the roles would be.

#### Officer Review

The officer's project differed in that the Terms of Reference (see Officer Evaluation Study Team Final Report 1980, pages iii - iv, para 2) clearly stated the agreed purposes of officer evaluation. In summary the officer evaluation system devised by the team should meet the purposes of:

- a. identifying potential for promotion and employment.
- b. providing information to guide individual officer development through career planning.
- c. improving individual performance.

#### Discussion

The essential starting point in the design of an evaluation system is the specification of the aims of the system. It is not possible to proceed with the design of the system until these aims are specified. Further it is not up to the system designers to determine these aims: they should be endorsed or formulated at the highest user level. Once specified, the system designers can proceed in that these critical parameters can be used to assess any existing system and/or to provide benchmarks for the proposed system. The officer team had a more clearly defined task in this respect, not having to postulate future roles or objectives and the seeking of policy guidance. Recent New Zealand research (see CAPT D.A. Richards' DPU Research Report No 10/80 dated November 1980, paragraphs 110 to 113) which is an evaluation of the current officer appraisal form, consisted of a two stage research design. The first stage was "determining objectives", which resulted in the ratification at the highest level, of the objectives of officer appraisal in the New Zealand Forces.

#### DEVELOPING THE EVALUATION SYSTEMS - APPROACHES TAKEN

#### Differences

There were two significant differences in the approaches taken by the project teams. The first related directly to the specification of the roles of the evaluative processes. The soldiers team was required to devote a significant amount of time researching what the roles of the present form were, as well as investigating the future roles of the form. This involved an extensive survey amongst the users of the current system. The team had then to present these findings with recommendations, before document design could be fully developed. In the officer review the purposes of officer evaluation had already been given policy endorsement and thus the team was able to directly consider how best to satisfy these agreed purposes. The second major difference in approach came from the fact that the officer system had been very stable over

a long period of time, while the soldier report had undergone a number of radical changes. This allowed the officer project team to base some of its recommendations on the results of empirical analyses of the current system: a stable data base existed. In the soldier review the importance of empirical studies was recognised but these were only possible after implementation of a proposed evaluative system.

#### Similarities

There was much that was similar in the two approaches. Clearly the officer study benefited from the preceding work of the soldier study. The teams both viewed the opinions and attitudes of the current users of the system as important. The soldier review conducted both written and verbal surveys of the users (see AAF A26A Project Team Policy Report, Volume 1, Chapter 1, paragraph 5 and Chapters 3 and 4). The officer review held discussions with a large number of users (see Officer Evaluation Study Team Final Report, Annex C, paragraphs 8, 10 and 11) and towards the end of the study conducted a survey of users as part of the piloting of a prototype version of the reporting form (see Officer Evaluation Study Team Final Report, Annex E, paragraphs 22 to 33). Discussions and surveys for both project teams canvassed opinion widely within the Army at the face-to-face and career management levels. Individual submissions were invited.

Each team carried out extensive literature surveys. As anyone with only a cursory knowledge of the literature would appreciate, the number of technical and non technical papers on personnel evaluation is enormous. Evaluative systems employed by other Australian and Overseas services were examined along with studies related to the technical assessment of the schemes (eg. reports by the Canadian Armed Forces Applied Psychology Research Unit and the New Zealand Defence Force Psychological Research Unit were assessed). The two teams also examined trends in Australian Industry by attending a Performance Appraisal Workshop in Melbourne (at Monash University attended by some 30 industry representatives) and visiting some large private organisations.

#### Discussion

Both project teams were aware that the success of an evaluation system was dependent to a large extent on the level of confidence and support it received within the organisation it was to be used in. This belief lead the teams to publicise their activities as widely as possible within the Army and to take into account the views submitted by any user. This open, public stance it was hoped would engender a degree of acceptance by these same users, whether they had made individual submissions or not, when the team formalised its proposals. While both teams appreciated their responsibilities in the application of technical psychological principals of personnel appraisal (eg. maximising reliability, establishing validity) the acceptance and confidence of the users was of primary and critical importance. Every effort was made to secure this type of support.

#### OPEN OR CLOSED SYSTEM

Traditionally the Australian Army has an open system of personnel evaluation. This means that evaluative reports raised by the member's Commanding Officer are to be sighted by and, if thought necessary, commented upon by the subject member. Openness does not extend to the reportee having any right with respect to a knowledge of the interpretation placed on these reports by career managers and/or selection boards. For evaluative reports on officers, openness in terms of sighting and being able to comment upon evaluative reports by the Commanding Officer and Superior Commanders, are specified in law,

in that an Australian Military Regulation outlines the procedures to be applied. The traditional openness for soldier evaluation probably came about by following the legal requirements for officer reporting.

Openness in reporting is not typical of the Australian Defence Forces however. Both the Air Force and Navy have systems which are closed. The reportees have no right to sight the information provided by the reporting officer, indeed this actively discouraged. Following pressures by certain Law Reform groups recently, each Australian Service was asked to justify its position with respect to this issue.

The RODC in addressing the matter summarised the opposing philosophical arguments for open and closed reporting in this way:

- a. open reporting: "an individual has a democratic right to be aware of any recorded information about him or herself. The individual right to know is greater than any corporate right to withhold"
- b. closed reporting: "information on an individual acquired and recorded by the organisation is the property of the organisation... (and therefore)... it need reveal to the individual only so much as it deems necessary" (see RODC Report, Study 3, Chapter 2, paragraph 2166).

Pending legislative changes through the current consideration of a "Freedom of Information" Bill in the Australian Parliament will, in terms described above, favour open reporting.

From a technical point of view there is little or no evidence of the superiority of one approach over the other. Usually the argument against open reporting is that the reporter will be less frank and honest if he knows that the reportee will see his comments. Closed reporting allows the reporter the opportunity to make forthright and accurate comments. The usual argument against closed reporting is that it inhibits the reportee's ability to develop any degree of confidence in the reporting system when he can only guess at what has been reported. In open reporting the reportee knows exactly what the assessments are. Basically these arguments are related to the attitude of the users of the system and this suggested that the best test of the matter would be a survey of these attitudes.

Both project teams found very considerable support for the open nature of the existing schemes. This was evident from reportees, reporters and career managers. Indeed in some negative comments received about the existing personnel systems the question was raised whether the systems were open enough: during the officer study in particular (see Officer Evaluation Study Team Final Report Annex C, paragraph 10) officers expressed a marked degree of confidence in the methods used to collect evaluative data but were concerned about the secrecy surrounding its use by management. In a survey of Lieutenant Colonels, the RODC found the same kind of reservations expressed (see RODC Report, 1978, Study 3, Chapter 2, paragraph 2168). In summary, the officer and soldier project teams found support within the Army for open reporting.

If one accepts the argument that open reporting produces assessments that are more favourable than they should be, then it would be expected that open reporting would tend to be inflationary (i.e. worsening massive leniency to the extent that no effective discrimination occurs; all ratings cluster at the top end of the scale). The officer team (see Officer Evaluation Study Team Final Report, 1980, Annex D, paragraph 34) by statistically comparing the distributions of scores on the officer's report between 1961 to 1977 was able to confirm that the Australian Officer Report was free of inflationary shift during this period. This empirical evidence supported the concept of open reporting.

In summary, both teams favoured open reporting. As has been described the Australian Army had been "brought up" on open reporting in which the users of the systems had expressed confidence. There was no technical evidence of superiority of closed over open systems, or vice versa. As mentioned above pending legislative changes also suggested that an open reporting system should be retained.

#### FORMS OF ASSESSMENT

The project teams reached the view that different mechanisms of assessment were required to achieve the different purposes of evaluation listed earlier (page 4).

##### Soldier Review

The soldier review recommended that to satisfactorily meet the aims of soldier appraisal two separate processes were required (see AAF A26A Project Team Policy Report Volume 1, Chapter 11). The most important was a potential review which would have the roles of:

- a. assessing the soldiers' suitability to be promoted.
- b. assessing an individual's suitability to fill various postings.
- c. determining the developmental needs of the soldier to prepare for future assignments (discussed generally in RODC Report, Study 3, page 2 - 10, para 227).

The second process, which was dependent upon the completion of a form, was a performance review. This allowed for the soldier's supervisor to :

- a. identify strengths and weaknesses
- b. to provide performance feedback to the soldier.

##### Officer Review

Similarly the officer review reached the conclusion that all three of the agreed purposes of officer evaluation could not be achieved through the same evaluative means (see Officer Evaluation Study Team Final Report, 1980, Part 3). The first two purposes (the evaluation of potential and the provision of information to update career plans) were achievable through the use of an appraisal document oriented toward the evaluation of potential. However the third agreed purpose (improving individual performance) required different mechanisms. The project team, unlike the soldier review team, did not conclude that this purpose should be dependent upon the completion of a reporting form but depended rather upon the application of skills and techniques of the supervising officer in order to improve performance. The opportunity for choice and variety in the application of different techniques for different subordinates and in different work environments was great and the introduction of a reporting form into the process would inhibit this opportunity.

##### Discussion

In determining that both officers and soldiers should have a reporting instrument oriented towards potential, each team accepted that the principal mechanism of evaluation for the Australian Army was a supervisory staff appraisal technique using a combination of rating scales, essay/narrative descriptions and specific recommendations. The team also recognised that as an element of the

evaluation of potential the subject member should provide a significant personal input in the form. In evaluating potential, career managers did not base their assessment on the contents of a single report document but allowance was made, for:

- a. other reports (earlier reports and reports generated from other activities eg. course reports).
- b. significant rating tendencies of the supervisors (eg. leniency, erratic rating).
- c. the opinion of other superiors with a knowledge of the member's capabilities: each form has a reporting chain incorporated.

Each reporting document was therefore viewed simply as means of providing those responsible for career management with a reliable and valid data base on each member, in order that conclusions about potential could be drawn.

While the decisions of the project teams were different with respect to the other aims of evaluation (a performance review form on the one hand, no form on the other) both teams recognised that the success of this element of the appraisal scheme depended upon the provision of training for the supervisor in such things as, for example, counselling and interview techniques, the provision of feedback, the setting of goals. The introduction of such elements in courses was recommended.

Other forms of appraisal were examined by each team. Principal amongst these was the assessment centre technique. In the case of the soldier review the assessment centre was regarded as too much of a refinement of the evaluation system considering the requirements of soldier evaluation. The officers' project team appreciated the great promise shown, particularly in terms of validity, by the assessment centre and recommended that a special study group be convened to assess the feasibility of its introduction for officer evaluation. Such a study would have to consider not only the technical parameters of the assessment centre but its cost-effectiveness.

#### SELECTION AND USE OF RATING SCALES

The project teams adopted significantly different procedures with respect to rating scale construction. As was indicated earlier in the paper, this was to some extent due to the differences between the existing evaluation systems. The soldiers' team started its rating scale design almost completely from scratch, whereas the officers' team was able to make some use of the long term data base from the existing officer appraisal form.

#### Soldier Review

The soldier team disregarded what scales were already represented on the appraisal form and used an approach suggested by Smith and Kendall (1963). They suggested that job incumbents and supervisors should be closely involved in the process of constructing the rating scales. An expert panel was assembled to define examples of effective and ineffective performance, which were judged to be indicative of the presence or absence of potential. These examples were then reduced to a limited number of factorial dimensions. When the small set of factors (or characteristics) were defined, word descriptions of each scale point were developed to form behaviourally anchored rating scales (BARS). The set of BARS scales developed in this way were then tested against other assembled expert panel groups. Feedback was also obtained on the construction, content and

layout of the scales as the report form progressed through a series of prototype versions before the final form was decided.

#### Officer Study

The officer study, on the other hand, took the view that it was prudent to assess the set of rating scales to be used for officer evaluation in three separate but related ways. These were:

- a. to assess the existing set of scales with respect to current literature findings in what is loosely described as rating scale "technology".
- b. to empirically evaluate the current set of scales to determine how they performed with respect to certain desirable psychometric criteria; and
- c. to examine the technical and non technical literature to determine those rating domains believed associated with officer potential which were not already assessed (see Annex D to the Officer Evaluation Study Team Final Report, 1980 for the detailed report of these activities).

In general terms the assessment of the current set of rating scales with respect to findings in the literature led to the conclusion that the existing scales were technically sound. Their design, content, layout and format were consistent with what had been demonstrated to produce the most reliable scales. The team's empirical study measured some psychometric characteristics of the existing reporting form. From the results of distributional analyses, factor analyses and reliability estimates (Cronbach's "alpha") certain scales were deleted, others were modified and the set as a whole was assessed as being deficient as the rank of the ratee increased. The literature survey along with a consideration of RODC recommendations, provided some additional scales which the team believed were essential for the evaluation of officer potential but which were not already measured on the existing form. The wording of these new scales was developed by the team and subsequently modified on the basis of feedback from the team's project managers and a representative sample of career managers and experienced reporting officers.

#### Scale Characteristics

While the teams' approaches appear to be some distance apart, the outcome in terms of the characteristics of the rating scales selected are quite similar. They are criterion (rather than normative) behaviourally anchored rating scales with each scale having either 5 or 7 points. Each scale may be accompanied by a comment by the rater. Both the scale characteristic (eg. Interpersonal Relations) and most of the scale levels (points) are defined in behavioural terms. All of these rating scale features have been shown to be associated with maximising the reliability of the rating scale.

#### Scoring of the Reports

Both teams developed scoring mechanisms which served at least two purposes. The first was to provide a global measure of potential based on the aggregation of ratings. The soldier team incorporated a differential weighting system between scales based on expert panel assessments as to how important each was as an indicator of potential. The officer team chose to score the scales without differential weighting, allowing that weights may be derived empirically at some later date. The soldier team calculated final

scores based on an averaging procedure which took into account the scores obtained on several earlier reports. The officer team used a similar averaging procedure but it involved the result on only the last two reports. The final global measure for the soldier report therefore is an averaged raw score. For officers raw scores are first transformed to T scores (Mean = 50, Standard Deviation = 10) for worn rank and the global measure is an averaged T score. The second purpose of scoring was to allow for the identification of significant rater tendencies (eg. harsh, lenient, erratic, and restricted range reporting). Each employed a confidence interval method for comparing each rater's mean and standard deviation of global scores to identify deviant tendencies. Initially the aim of the confidence interval tests is to establish a data base, over a period of 2 - 3 years, with which to examine certain characteristics of these rating tendencies. There is no suggestion that the global scores for the ratees of statistically identified deviant raters will be adjusted, although the averaging procedure, referred to above, to some extent has this effect.

#### RELIABILITY AND VALIDITY

Both project teams addressed the reliability and validity of the personnel evaluation systems. The teams' views are described and discussed below.

##### Soldiers Review

The soldier team identified a need for two types of study. The first was described as an "external validation study" which would on the one hand confirm the validity of the promotion system by "cross validation" and on the other, enable empirical weights to be derived for each of the factors used to determine potential based on predictive ability. The second study was designed to confirm the validity, reliability and discriminating power of the new potential report form as a measuring instrument. Both of these studies were recommended for the mid '80s.

##### Officers Review

The officer team took a more pragmatic view of these issues. Starting with the definitions of reliability and validity as stated by Nunnally (1966)<sup>5</sup>, the team came to the conclusion that reliability and validity were more closely related in respect of rating scales. As rating scales were usually employed because there was no satisfactory alternative to subjective judgement, validity cannot be approached in the "usual way (which) involves examining the power of the ratings to predict an external criterion" (O'Gorman, 1973, page 1). Rather, rating scale validity was derived from its reliability: "if there is a high degree of consistency between and among raters it must be assumed that, because of the high reliability, the ratings presumably are indicative of true relative merit (validity)" (Tiffin and McCormick, 1970, page 257). Based on this rationale, it was concluded that the multi trait/multi method approach as suggested by Campbell and Fiske (1959), and applied by O'Gorman (1973) to an Australian Army sample, was the closest empirically one could get to validity. For the purposes of the design of the reporting instrument, in the limited time available, the team developed scales which conformed to the factors the literature indicated would maximise reliability<sup>6</sup> and which also satisfied the requirements of "face" validity (see Nunnally, 1966, page 99). Essentially this latter requirement was that they were judged, either from empirical evidence or by collective "expert" opinion, to be the type of rating characteristics which are associated with potential.

### Discussion

Both teams supported the conduct of external validation studies of the evaluation system, and the instruments employed, but, as can be seen from the preceding paragraph, the officer team formed the view that validation in this empirical sense was not possible. The key to the issue, and this needs to be further examined, is the criterion/criteria problem. Is it possible to select a criterion (or criteria) that can be assumed to be an accurate measure of performance while at the same time, being independent of the system or instruments for which it is designed to be used as a criterion? The criterion problem is dealt with in many organisational texts (eg. see Dunnette, 1976) but requires further study. At this stage validity of the internal consistency type, as is discussed in the last section of this paper, appears to be the only realistic possibility.

### PROPOSED SYSTEMS

Enclosed as Annexes to this paper are copies of the reports designed to assess potential. These reports are completed in part by the incumbent, a close supervisor and other superiors. The reports are usually raised annually, except in certain special circumstances, but not more frequently than six monthly. As is described earlier each report has a scoring mechanism, the details of which are not known to the incumbents or reporting officers, designed to give global indices of merit and to enable the assessment of deviant rater tendencies. Courses and/or instruction on reporting are proposed for all reporting officers.

For the improvement of individual performance, the teams recommended the conduct of supervisor courses on counselling techniques including interviewing, the setting of goals and the provision of feedback. The soldier team proposed a report form to assist these procedures but at this stage the form has not been designed. The officer team supported the production and wide issue of a new publication on officer career management, including detailed sections on the evaluation system.

The teams made recommendations for the investigation and/or use of alternative forms of assessment. The soldier review advised against the use of the assessment centre for soldiers principally on the basis of it being too much of a refinement but also because it is expensive. The officer review linked together the assessment centre and war gaming and simulation techniques, recommending that they be subjected to further study. The soldier review made recommendations with respect to the evaluation of soldiers on courses and the completion of course reports.

Incorporated in each team's proposed systems were recommendations regarding the monitoring of the new reports into service. This was basically a feedback system which allowed for the revision and refinement of the reporting mechanism shortly after introduction into service.

### LONG TERM EFFECTIVENESS

As was indicated earlier some further study is necessary with respect to determining the validity of each reporting system. In the meantime however, empirical work has proceeded on the estimation of some internal characteristics of the rating scales.

#### Soldier Report Form

The first full set of data on the newly introduced soldier report has only recently become available to the 1 Psychological Research Unit. Some preliminary analyses have been performed. These have taken the form of distributional analyses, factor analyses and reliability estimates. The distributional analyses have shown that while each rating scale is skewed and kurtotic, discrimination within each scale is satisfactory. The factor analyses have revealed two significant factors of which the first is loaded by all but two scales and accounts for approximately 50% of the variance, while the second has three scales loading on it for approximately 8% of the variance. The first factor probably represents an overall performance factor and measures the effectiveness of the soldier in his job. The second factor encompasses appearance, fitness and to some extent conduct and appears to represent what might be called "soldierliness". This is fairly consistent throughout each of the four rank groups. It is interesting to note that when a third factor (accounting for 6 percent of the total variance) is forced from the data the scales measuring oral and written communication load heavily on this factor with moderate loadings by the scales measuring commonsense and organisational/administrative ability. The reliability estimate (Cronbach's Alpha) for the full scale set is of the order .91. These results are only preliminary at this stage.

#### Officer Report Form

As was indicated earlier, empirical analyses significantly contributed to the development of the new reporting document for officers. Factor analyses, by rank, revealed a large general factor accounting for the bulk of the common variance, but also that as rank increased fewer scales contributed to the specification of the factors. Estimates of Cronbach's "alpha" showed a full scale reliability of about .86, but demonstrated, more significantly, that relatively few scales were necessary to maximise reliability at the higher rank levels. For LTCOLs, apart from the Global rating, the combination of only four out of ten scales produced maximum reliability. These were Judgement, Quickness of Apprehension, Ability to Speak and Paperwork. This evidence supported the development of three additional new scales to assess Majors and above. These new scales are Adaptability, Foresight and Analytical Skill, as well as a new 3 point global scale, Promotion Potential. In the long term, these scales and the others on the reporting document will be tested empirically. The first set of data will be available for this purpose in July 1982.

#### CONCLUSION

The purpose of this paper has been to present and discuss the experiences of the Australian Army recently in the design and implementation of two personnel evaluation systems. Both have lead to the introduction of a system of evaluation that has been a consistent application of the findings from psychological and managerial literature. While the question of system validation still requires some further consideration, it is interesting to note technical papers published after these studies (eg. see Norton et al, 1980, pages 184 - 187) have offered as prescriptions of the idealized "sound rating system", suggestions remarkably similar to the decisions taken in the conduct of these two projects.

Although analysis of both appraisal forms is not complete they appear to be capable of meeting their objectives and providing a reliable and valid personnel evaluation system for the Australian Army.

NOTES

1. The project team set out the policy with respect to its proposals in a two volume paper entitled "AAF A26A Project Team Policy Report - 1977". After this policy was endorsed the mechanics of the system were developed during 1977/78 leading the production and introduction into service of a new reporting document.

2. The project team set out its proposals in its report entitled "Officer Evaluation Study Team Final Report June 1980". Some minor elements of detail were determined after the production of this report, however the new system will be operational from July 1981.

3. The terms "evaluation", "assessment" and "appraisal" are used interchangeably throughout this paper.

4. These are listed in para 105 of Study 3 ("Career Management") of the RODC Report (1978). In summary the reservations about the current officer evaluation system were:

- a. lack of discrimination: while the officers at the extremes were readily identified, the current system was less discriminating in the centre.
- b. situational factors: comparison between officers was hindered by the lack of information regarding the different environments and conditions in which officers worked.
- c. training: both reporting officers and career managers were inadequately trained.
- d. potential: the present system did not adequately identify potential for promotion and employment.
- e. integration: insufficient integration between counselling and assessment in the current system.
- f. secrecy; there was some lack of confidence in the present system because of the level of secrecy with respect to the compilation and handling of assessment reports.
- g. feedback: the inadequate feedback to the officer on the results of the assessment process.

5. Nunnally (1966) gives the following definitions:

- a. Reliability: of a measuring instrument is the extent to which the instrument is free from error. Without specifying what the instrument is measuring the reliability is a gauge of its measuring accuracy (see page 172, Nunnally, 1966).
- b. Validity: of an instrument relates to the usefulness of the thing that is measured. In personnel appraisal validity refers to the extent to which the scores derived from the reporting instrument actually reflect true merit of the ratee (see page 75, Nunnally, 1966).

6. The officer study identified eight different issues related to maximising the reliability of rating scales. These were:

- a. the manipulation of the scores obtained from the rating process (eg. forced distribution, ranking methods and forced choice methods).
- b. the method and manner of deriving the rating scale set (eg. Smith and Kendall's (1963) suggestion to involve incumbents leading to the development of Behaviourally Anchored Rating Scales).
- c. the content of the scale (eg. raters may make fewer errors by having actual examples of behaviour to rate, rather than say, personality characteristics).
- d. the length of the scale (eg. having more scale points may produce few errors).
- e. the training of raters.
- f. the account given to situational or job variables.
- g. the use of multiple ratings.
- h. the monitoring of rater biases.

The conclusions with respect to each of these issues were used, to evaluate the current rating scale set and, as a guide to developing new scales.

Comparison of Various Features of the Officer and Soldier Review  
of Personnel Evaluation in the Australian Army

|                           | <u>Soldier Review</u>   | <u>Officer Review</u>   |
|---------------------------|---|---|
| Reasons for:              | 1. Uncoordinated and rapid change, with no comprehensive review.  | 1. No broad, comprehensive review in 25 years.  |
| Structure of:             | 1. Two man team: general service officer and psychologist.  | 1. Two man team: general service officer and psychologist.  |
| Primary Aim of Evaluation | 1. To assess promotion potential.   | 1. To assess potential for promotion and employment.  |
| Approaches Taken          | 1. No pre existing aims of evaluation.<br>2. No stable empirical data base existed.<br>3. Opinions and Attitudes of users widely canvassed.<br>4. Extensive literature surveys.<br>5. Other forces schemes examined.<br>6. Australian Industries schemes examined.                                  | 1. Aims of evaluation already agreed<br>2. 25 years worth of stable data. Empirical study employed.<br>3. Opinions and Attitudes of users widely canvassed.<br>4. Extensive literature surveys.<br>5. Other forces schemes examined.<br>6. Australian Industries visited and schemes examined.  |
| Open/closed system        | 1. Traditionally Army has open system.<br>2. Navy and Air Force both closed.<br>3. Legislative changes pending favour open system.  | 1. Officer system open by military regulation.<br>2. Navy and Air Force both closed.<br>3. Legislative changes pending favour open system.  |
| Forms of Assessment       | 1. Form required for review of future potential.<br>2. Potential assessment based on multiple reports and assessment.<br>3. Performance Review form needed.<br>4. Training recommended in providing feedback, setting goals, interviewing.<br>5. Assessment Centre advised against.                 | 1. Form required for review of future potential.<br>2. Potential assessment based on multiple reports and assessment.<br>3. No form necessary to provide performance improvement.<br>4. Training recommended in providing feedback, setting goals, interviewing.<br>5. Assessment Centre, War Gaming and Simulation need further study.   |
| Rating Scales             | 1. Applied Smith and Kendall (1963) Technique to develop BARS scales.<br><br>2. Developed criterion scales with 5 or 7 points.<br><br>3. Scoring mechanism to <ul style="list-style-type: none"> <li>a. provide global measure, based on raw score.</li> <li>b. identify deviant raters.</li> </ul> | 1a. Empirically tested existing scales:<br><ul style="list-style-type: none"> <li>distributions</li> <li>factor analyses</li> <li>reliability estimates.</li> </ul><br>1b. Assessed scales in terms of rating scale technology: what maximises reliability.<br><br>1c. Used literature survey to develop additional scales.<br><br>2. Developed criterion scales with 5 or 7 points.<br><br>3. Scoring mechanism to <ul style="list-style-type: none"> <li>a. provide global measure, based on T score.</li> <li>b. identify deviant raters.</li> </ul> |

Soldier ReviewOfficer Review

## Rating Scales (cont)

4. Global score an intra scale report weighted average taking into account earlier scores.

4. Global score an intra scale report unweighted average, taking into account earlier scores.

## Probability and Validity

1. External validation recommended.

1. Multi trait/multi method matrix best approach. Validation needs further study.

2. Study of the report instrument recommended.

2. Internal "validation" possible through analyses of distribution, factor analyses and reliability estimates.

## Long Term Effectiveness

1. Internal psychometric studies.

1. Internal psychometric studies.

ANNEX B TO  
RESEARCH NOTE 3/81

PR 10  
Formerly AAF A26  
Revised Jan 81

IN CONFIDENCE  
(When any part completed)

Full Name.....  
(Surname) (Christian or Given Names)  
Army Number.....  
Worn Rank..... Corps.....  
Category \* ARA/ARES/RAS  
Career Division: \* GSO/SSO/PSO

Also complete details on the top of page 11.



Australian Army

EVALUATION AND DEVELOPMENT REPORT - OFFICERS

Reporting Period Ended: .....

Reason for Report: \* ANNUAL/OTHER (Specify: ..... ) \* Delete as necessary

GENERAL INSTRUCTIONS

1. This report is a most important document. It is a vital component of the career management system, being the principal source of evaluative data upon which career decisions are based. The report should therefore be compiled with scrupulous honesty and care, so that both the Army and the individual obtain a complete, accurate and fair assessment.

PURPOSE

2. THE PRIMARY AIM of the reporting system is the IDENTIFICATION OF POTENTIAL FOR PROMOTION AND EMPLOYMENT. It must be recognised that the evaluation of potential is not based on a single report or opinion. Clearly this report, being the latest, is most important. However, it will be weighed in the context of previous reports and other data in arriving at an evaluation of potential.

3. THE SECONDARY AIM of the system is TO ASSIST IN CAREER PLANNING. This report allows the officer to update career-relevant data (eg, qualifications, preferences) on a regular basis and assists in employment and development decisions.

4. THE TERTIARY AIM of the evaluation system is TO IMPROVE INDIVIDUAL PERFORMANCE. In this respect the report is an important aid to the ongoing counselling process. The report should summarise performance and provide constructive guidelines for future development.

COMPLETION

5. The sections of this report are to be completed as follows:

- a. PARTS 1 AND 2. To be completed by the officer reported on, who is responsible for the accuracy of the data provided. These sections are designed to assist Reporting Officers and to update records.
  - b. PARTS 3, 4 AND 5. To be completed by the Reporting Officer.
  - c. PART 6. To be completed in duplicate by the Senior Reporting Officers to allow for transmission to the rated officer.
6. The report is to be completed in black or blue pen.
7. Where this report is prepared whilst on active service reference should be made to current security instructions before completion.
8. This document is not to be locally amended without permission from DOD(AOIMS).

IN CONFIDENCE  
(When any part completed)

- 2 -

**PART 1 - PERSONAL DATA**  
*To be completed by the officer reported upon*

9. Date of birth..... PES..... Year Assessed.....
10. Rank: Substantive..... Temporary.....  
Date of Promotion..... Date of Promotion.....
11. Marital State.....  
*If you are married and your spouse is a serving ARA member list his/her personal details (number, rank, name, posting).*  
.....
12. FOR ARA only. Indicate the number and relationship of all dependents (including ages of children).  
.....

**QUALIFICATIONS**

13. Indicate qualifications accurately - this data is useful for some selection purposes.  
**MILITARY** (*include details of any military course completed since your last report*)  
.....

**CIVILIAN.** Show here any Degree, Diploma or other post-secondary qualifications held including the ability to speak foreign languages.  
.....  
.....  
.....

**COURSES OF STUDY.** Show any formal civil course of study you are undertaking sponsored or otherwise. List the type of course, the institution and the stage you have reached.  
.....  
.....  
.....

**FUTURE STUDY.** List below any course, civilian or military, which you would like to be considered for. Include the course title, the institution and duration.  
.....  
.....  
.....

**FOR ARA'S ONLY**

14. Current Home Address .....  
..... Home Phone .....
- Civilian Occupation .....
- Name and Business Address of Employer .....  
..... Business Phone .....

- 3 -

**PART 2 - MILITARY EMPLOYMENT DATA**  
*To be completed by the officer reported upon*

**PRESENT EMPLOYMENT**

15. Present Appointment..... Date of Assumption.....
16. What duties did you actually perform during the reporting period?  
.....
17. How would you describe your general level of satisfaction with this employment?  
 Low  Moderate  High  (Tick one)
18. Here you may make any general comments on your current appointment.  
.....  
.....

**FUTURE EMPLOYMENT**

19. Have you received formal notification of your next posting? (If so, give details)  
.....
20. After referring to the Career Guidance Handbook, indicate below your preferences for the types of employment for which you wish to be considered in your NEXT posting. A number of employment types are shown below. To this list you may add specific employment types not already included. Indicate your preferences by placing the figures 1, 2 and 3 beside your choices.

| Command          | Preference | ARES Cadre           | Preference |
|------------------|------------|----------------------|------------|
| Regimental       | .....      | Staff (specify ..... | .....      |
| Instructional    | .....      | .....                | .....      |
| Representational | .....      | .....                | .....      |

21. As your next posting, specify any particular appointment for which you wish to be considered.  
.....
22. List below your preferences, in order, for the geographical location in which you prefer to serve next.  
 1. ..... 2. ..... 3. ....
23. Detail any locality in which you DO NOT wish to serve.  
.....

24. Specify below any matters of a personal or domestic nature (eg, family, medical, housing or education needs) which should be considered in relation to your next posting.  
.....  
.....  
.....

25. Listed below are some officer appointments for which the MS wishes to establish the volunteer status of every officer. Circle any of those for which you wish to volunteer.

UN      PNG

- 4 -

**PART 3 – ASSESSMENTS – ALL OFFICERS**

To be completed by the Reporting Officer for all ranks

26. For how many months of the year under review has this officer been serving under you? .....

27. How long have you known the officer personally?.....

28. Does this officer maintain the required standard of physical fitness? Yes  No  (Tick one)

Date Qualified..... Category.....

Comments.....

Does this officer maintain an appropriate standard of dress and bearing? Yes  No  (Tick one)

29. Do you assess the appointment held by the officer as **CLEARLY MORE DEMANDING** than that normally held by an officer of his or her worn rank? Yes  No  (Tick one)  
If the appointment is clearly more demanding specify below the principal factors which make it so:  
.....  
.....

30. Indicate (/) below the method, or methods, employed to improve the officers performance:

|                           |                          |   |                          |
|---------------------------|--------------------------|---|--------------------------|
| a. goal setting           | <input type="checkbox"/> | d. raising and discussing trial reports | <input type="checkbox"/> |
| b. counselling interviews | <input type="checkbox"/> | e. other (specify).....                 | <input type="checkbox"/> |
| c. informal feedback      | <input type="checkbox"/> |   | <input type="checkbox"/> |

31. In this section you are asked to assess the officer's performance in his or her worn rank in terms of the 10 characteristics below. You should attempt to base your ratings of the officer on demonstrated behaviours you have observed or have direct evidence of and NOT on your personal feelings toward the officer.

Your task is to rate each characteristic as independently as you can.

FIRST Read the title of the characteristic and the few words, in brackets, which describe it.

SECOND Read ALL the phrases which describe different levels of the characteristic.

THIRD Choose the statement which best describes the officer and place a tick in the rating column to indicate this choice. For some characteristics a letter 'S' appears. A tick beside the 'S' means that while the officer is best described by the adjacent group of words, the actual rating you prefer to make is more extreme than these words suggest.

FOURTH Use the 'Comments' section to explain or clarify a rating or to comment when it is your opinion that a rating is not possible for that particular characteristic. A comment should usually be made in all cases where the top or bottom line is ticked for any characteristic.

FIFTH Proceed to the next characteristic and give it INDEPENDENT CONSIDERATION as outlined in the steps above.

**READ AND CONSIDER EACH STATEMENT BEFORE YOU MAKE YOUR  
CHOICE UNDER EACH CHARACTERISTIC**

- 5 -

| CHARACTERISTIC   | LEVELS   | RATING                                    | COMMENTS |
|--|--|---|----------|
| <b>SELF DEVELOPMENT</b><br><i>(Consider the officer's effort and capacity for improvement and enlargement of job competence)</i> | Is a self starter; actively seeks experience and learns from it<br>Appreciates any opportunities for increased knowledge and experience and benefits from them<br>Makes an effort to enhance self competence through self improvement<br>On the whole accepts things as they fall, occasionally taking opportunities to improve<br>Does not attempt to improve and barely learns from experience | .....<br>.....<br>.....<br>.....<br>..... |          |
| <b>OVERALL OPINION</b><br><i>(To what extent would you want this officer to serve under you in any future appointment?)</i>      | Not want<br>Take a chance<br>Happy to have<br>Prefer to most<br>Fight to get   | .....<br>.....<br>.....<br>.....<br>..... |          |

32. In this section you are asked to provide a general picture of the officer, concentrating particularly on the results achieved and the efficiency of his or her performance. (Has the officer achieved all that you have asked? Have any factors adversely affected his or her performance? Does the officer have the required level of knowledge for the appointment?)

33. Can you recall any activity, military or non-military, in which this officer has engaged during the past year outside his normal duties and how was it handled (eg, sports, concerts, Mess affairs, children's day, taking unexpected responsibility).

**PART 4 - ADDITIONAL ASSESSMENTS - MAJOR TO COLONEL**

*To be completed by the Reporting Officer for members in the worn rank of Major to Colonel*

34. In this section you are asked to assess the officer's performance in terms of the four characteristics below, following the same steps indicated in paragraph 31. Comment is mandatory for Promotion Potential.

**READ AND CONSIDER EACH STATEMENT BEFORE YOU MAKE A CHOICE UNDER EACH CHARACTERISTIC**

| CHARACTERISTIC   | LEVELS  | RATING                           | COMMENTS                               |
|--|---|----------------------------------|--|
| <b>ADAPTABILITY</b><br><i>(Consider the officer's ability to effectively respond to changes in situations and plans)</i>                           | Is both versatile and flexible<br>Can adapt to most new situations and is generally flexible in approach to problems<br>In new situations, usually recognises the need for change but at times fails to do so<br>Lacks flexibility, preferring to adhere to rigidly established procedure                                   | .....<br>.....<br>.....<br>..... |  |
| <b>FORESIGHT</b><br><i>(Consider the officer's ability to fully appreciate the context and impact of events and ideas and to plan objectively)</i> | Is limited in capacity to view the broader context objectively<br>Reacts to events and rarely sees above present level<br>Anticipates most of the likely problems associated with his/her plans<br>Broad objective vision, invariably sees the wider implications of his/her plans  | .....<br>.....<br>.....<br>..... |  |
| <b>ANALYTICAL SKILL</b><br><i>(Consider the officer's ability to identify the key elements of a problem)</i>                                       | Is able to rapidly identify and analyse the key elements of the most complex problems<br>Able to identify the essential parts of most problems<br>Generally is able to reduce a problem to its key elements<br>At times, fails to identify key elements<br>Lacks analytical skill, finds solutions but ignores key elements | .....<br>.....<br>.....<br>..... |  |
| <b>PROMOTION POTENTIAL</b><br><i>(How do you rate the officer's potential for promotion)</i>   | Current level appears to be ceiling rank<br>Has potential for higher rank levels<br>Has the potential to proceed to the highest rank levels   | .....<br>.....<br>.....          | <b>YOU MUST COMMENT ON THIS RATING</b> |
|  |   |                                  |  |

**PART 5 – RECOMMENDATIONS**

*In this part you are asked to make recommendations on the future, promotion, employment and development of the officer*

35. What is your recommendation concerning the fitness for promotion of this officer to the next substantive rank without regard to qualifications, if any?

|                      |                          |                             |                          |
|----------------------|--------------------------|-----------------------------|--------------------------|
| Strongly recommended | <input type="checkbox"/> | Not yet ready for promotion | <input type="checkbox"/> |
| Recommended          | <input type="checkbox"/> | Not recommended             | <input type="checkbox"/> |

*(Tick appropriate box)*

If this officer is not yet ready for promotion, or is not recommended, state your reasons.

36. Indicate the degree to which you would recommend the officer for employment in the categories below with a tick. You may insert other categories you feel are appropriate.

|                      | Low Degree |   |   |   |   | High Degree |  | Not Assessed |  |
|----------------------|------------|---|---|---|---|-------------|--|--------------|--|
|                      | 1          | 2 | 3 | 4 | 5 |             |  |              |  |
| Command              |            |   |   |   |   |             |  |              |  |
| Regimental           |            |   |   |   |   |             |  |              |  |
| Instructional        |            |   |   |   |   |             |  |              |  |
| Representational     |            |   |   |   |   |             |  |              |  |
| ARES Cadre .....     |            |   |   |   |   |             |  |              |  |
| Staff (Specify ..... |            |   |   |   |   |             |  |              |  |
| .....                |            |   |   |   |   |             |  |              |  |
| .....                |            |   |   |   |   |             |  |              |  |
| .....                |            |   |   |   |   |             |  |              |  |

37. In what capacity do you believe this officer would best serve the Army?

In Peace.....

In War.....

38. Detail the specific developmental needs of the officer. What additional training or experience is needed?.....

.....

.....

.....

Do you wish to make written representations concerning this report? \_\_\_\_\_

*(Signature of Reporting Officer)*

Yes  No  *(Tick one)* \_\_\_\_\_

*(Rank and Name in Block Letters)*

Initials of Officer reported on and date \_\_\_\_\_

*(Appointment in Block Letters)*

Date.....

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**PART 6 - REMARKS OF SUPERIOR REPORTING OFFICERS**  
*(Insert carbon before completion)*

38. On what basis do you know the officer?

Frequent Contact       Occasional Contact       Reports Only  *(Tick one)*

Is this report consistent with your impressions?

Do you have further comments?

Date.....

Signature.....

Rank and Name.....

Appointment.....

40. On what basis do you know the officer?

Frequent Contact       Occasional Contact       Reports Only  *(Tick one)*

Is this report consistent with your impressions?

Do you have further comments?

Date.....

Signature.....

Rank and Name.....

Appointment.....

41. On what basis do you know the officer?

Frequent Contact       Occasional Contact       Reports Only  *(Tick one)*

Is this report consistent with your impressions?

Do you have further comments?

Date.....

Signature .....

Rank and Name .....

Appointment .....

IN CONFIDENCE  
(When any part completed)

SUPERIOR OFFICER  
(Rank and Name)  
Reporting Officer  
(Rank and Name)

DUPLICATE OF SUPERIOR REPORTING OFFICERS COMMENTS FOR SIGHTING  
BY THE OFFICER AND RETURN TO MS

39. On what basis do you know the officer?

Frequent Contact  Occasional Contact  Reports Only  (Tick one)

Is this report consistent with your impressions?

Do you have further comments?

Date..... Signature.....

Rank and Name.....

Appointment.....

40. On what basis do you know the officer?

Frequent Contact  Occasional Contact  Reports Only  (Tick one)

Is this report consistent with your impressions?

Do you have further comments?

Date..... Signature.....

Rank and Name.....

Appointment.....

41. On what basis do you know the officer?

Frequent Contact  Occasional Contact  Reports Only  (Tick one)

Is this report consistent with your impressions?

Do you have further comments?

Date ..... Signature.....

Rank and Name .....

Appointment .....

Do you wish to make written  
representations concerning this report?

Yes  No  (Tick one)

Initials of Officer reported on and date

IN CONFIDENCE  
(When any part completed)

**ANNEX C TO  
RESEARCH NOTE 3/81**

PR 66  
Formerly AAF A26A  
Revised Jan 79  
Stock No 7530-98-101-0803

**STAFF-IN-CONFIDENCE** (*When completed*)

Australian Army

**CONFIDENTIAL REPORT - SOLDIERS**

**NOTES:** 1. This report is to be completed in accordance with MPA Vol 1 Chapter 32.

2. "Delete where inapplicable."

This report is: Annual/Promotions/Special\*

PART 1 - PERSONAL PARTICULARS (To be completed by user. Where required, print detail in spaces from the left.)

|  |  |  |  |                                     |                              |
|--|--|--|--|-------------------------------------|------------------------------|
| Reporting Period<br>(eg. 09 FEB 79)                      |  |  |  | Insert effective date               | Day    Month    Year         |
|  |  |  |  | 10                                  | Day    Month    Year         |
| Surname  |  |  |  | Initials                            | Day    Month    Year         |
| Number   |  |  |  | Subst Rank and Date                 | Rank    Day    Month    Year |
| Unit   |  |  |  | Date of Posting                     | Day    Month    Year         |
| Unit EDP Number<br>(From Locators)                       |  |  |  | Temp/Prov* Rank and Date            | Rank    Day    Month    Year |
| Corps<br>(eg. Adm-Art)                                   |  |  |  | Date of Previous Subst Rank?        | Day    Month    Year         |
| Date of Birth  |  |  |  | Time in Worn Rank                   | Months                       |
| Posted ECN   |  |  |  | Date of Enlistment                  | Day    Month    Year         |
| Other ECN in which Qualified<br>for Next Subst Promotion |  |  |  | If PES Temporary<br>Date for Review | Day    Month    Year         |
| PES and Date   |  |  |  |                                     |                              |

**PART 3 - SOLDIER MANAGEMENT INFORMATION (To be completed by the soldier reported on)**

**STAFF-IN-CONFIDENCE**

~~STAFF - IN - CONFIDENCE~~

PART 2 : Control

**5 CIVIL COURSES (List any civil courses you are currently studying)**

**6. PERSONAL SKILLS** (List any personal qualification or skill including level of proficiency, which you consider may be of use in the Army, e.g. ability to speak foreign languages, parachuting, computer programming, etc. Do not list any formal military skills acquired on Army courses.)

CARO Use Only

7. Are there any other comments (eg. preferred employment stream) you would like to be considered concerning your employment in the Army?

**PART 3 - ASSESSING OFFICER'S REPORT**

**INSTRUCTIONS:**

- a. To be completed by the senior officer (not normally below the rank of Major) responsible for close supervision of the soldier as nominated by the Commanding Officer (or equivalent).
  - b. The Assessing Officer is to avoid comparing the soldier's performance with those of the member's peers in his rank and ECN. The soldier's performance is to be evaluated solely on the basis of performance standards achieved in the reporting period.
  - c. Enter ratings ("✓") in boxes and comments should be made in the remarks column if they would help explain the rating.
  - d. If no rating is possible enter 'NX' in the remarks column and state the reasons.
  - e. A soldier fitting the performance description is to be marked in the open box. Use closed boxes to indicate a marked (M) eg.  or lesser (L)  or  or
  - f. Do NOT use a RED pen.
  - g. See para 7, Part 7 for guidelines for Assessing Officers

Box.                
er (L) M C

CAROUSEL



### Part 3 Continued Opposite

## STAFF-IN-CONFIDENCE

| 3 I KNOW THIS SOLDIER'S WORK PERFORMANCE VERY WELL WELL ADEQUATELY   |  |   | APPRaisal                  | Remarks | ICARO Use Only |
|--|--|---|----------------------------|---------|----------------|
| <b>a. APPLICATION OF KNOWLEDGE</b> Applies knowledge, skills and experience to practical situations  |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> M  |                            |         |                |
| Consistently applies knowledge, skills and experience to produce work of a high standard. Consistently applies knowledge, skills and experience to produce work of a satisfactory standard.                                |  |   |                            |         |                |
| <b>b. RELIABILITY</b> Demonstrates he can be relied upon to carry out duties   |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> L   | <input type="checkbox"/> L  | <input type="checkbox"/> M |         |                |
| Very reliable - can be trusted to carry out routine and additional duties.   | Reliable - can be trusted to carry out routine duties.                             | Unreliable - requires supervision.  |                            |         |                |
| <b>c. ACCEPTANCE OF RESPONSIBILITY</b> Demonstrates he can cope with responsibilities  |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> L   | <input type="checkbox"/> M  | <input type="checkbox"/> M |         |                |
| Tries to avoid or shirks responsibilities.   | Accepts assigned responsibilities.   | Bear's responsibility or is able to cope with additional responsibilities when assigned to him.                   |                            |         |                |
| <b>d. LEADERSHIP</b> Directs, motivates, controls and influences others to obtain stated objectives. Includes superiors, subordinates and colleagues   |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  | <input type="checkbox"/> M |         |                |
| Effective - obtains superior results and maintains morale.   | Satisfactory - is able to obtain support of others and achieve acceptable results. | Ineffective - obtains indifferent results that are:   |                            |         |                |
|  |  | - Relying on others too much<br>- Driving them too hard<br>- Trying to do too much himself<br>- Being too lenient |                            |         |                |
| <b>e. INITIATIVE</b> Self-starting characteristics. Takes action without direction, guidance or supervision  |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> M  |                            |         |                |
| Lacks initiative - depends upon others for direction.  | Has capability but hesitates unless directed.                                      | Self-starter - acts promptly and independently.   |                            |         |                |
| <b>f. COMMON SENSE</b> Has a balanced and practical approach to solving problems/situations  |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  | <input type="checkbox"/> M |         |                |
| Consistently produces practical, workable solutions to problems/situations.  | Generally produces practical solutions to normal problems/situations.              | Tends to be impractical in his approach to problems/situations.   |                            |         |                |
| <b>g. ORAL COMMUNICATION</b> Presents arguments, facts, ideas and/or instructions in a clear, fluent and convincing manner   |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  | <input type="checkbox"/> M |         |                |
| Conveys information, ideas and intentions with ease and clarity.   | Able to convey information, ideas and intentions to others.                        | Experiences difficulties communicating information, ideas and intentions to others.                               |                            |         |                |
| <b>h. INTERPERSONAL RELATIONS</b> Works effectively with others and relates to those whom he works with in the service - does not cause friction/disagreements   |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> L   | <input type="checkbox"/> M  | <input type="checkbox"/> M |         |                |
| Tends to be a disruptive influence and undermines unit effectiveness.  | Is able to relate to others and contribute to unit effectiveness.                  | Works well with others and contributes to unit effectiveness.   |                            |         |                |
| <b>i. CONDUCT</b> Behaves in a manner that is in accordance with Army standards. The performance appraisals dimension covers all aspects of the serviceman's behavior. This includes offence factors and general attitude. |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  | <input type="checkbox"/> M |         |                |
| Displays a high standard of conduct that contributes to his effectiveness as a serviceman.   | Displays a satisfactory standard of conduct.                                       | Displays an unacceptable level of conduct which interferes with his effectiveness as a serviceman.                |                            |         |                |
| <b>j. APPEARANCE</b> Demonstrates neatness, smartness and correctness of dress and grooming - carries a soldierly air.   |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  |                            |         |                |
| Smart and well turned out at all times.  | Appearance satisfactory.   | Neatness in appearance.   |                            |         |                |
| <b>k. PHYSICAL FITNESS</b> Demonstrates a standard of physical fitness appropriate to age and medical PMS  |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  |                            |         |                |
| Displays a high level of physical fitness.   | Displays an acceptable level of physical fitness.                                  | Displays an unacceptable level of physical fitness.   |                            |         |                |
| <b>CORPORAL AND ABOVE</b>  |  |   |                            |         |                |
| <b>l. ORGANISING-ADMINISTRATIVE ABILITY</b> Plans and arranges available resources and information in a systematic way to produce effective results  |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  | <input type="checkbox"/> M |         |                |
| Organises and coordinates demanding activities and resources to achieve effective results.   | Organises and coordinates routine tasks to achieve satisfactory results.           | Organises and coordinates difficult tasks to achieve effective results.   |                            |         |                |
| <b>m. WRITTEN COMMUNICATION</b> Conveys facts, reasoning, recommendations and instructions clearly, concisely and systematically.  |  |   |                            |         |                |
| <input type="checkbox"/> M   | <input type="checkbox"/> M   | <input type="checkbox"/> L  | <input type="checkbox"/> M |         |                |
| Conveys meanings and intentions clearly, concisely and systematically.   | Is able to convey meaning and intentions to others.                                | Written work leaves something to be desired.  |                            |         |                |

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PART 3 'Contd'

**10 OVERALL RATING** It is important that the Assessing Officer familiarize himself with the rating descriptions in Part B, Part 7, before he makes his overall rating. (See page 10)

- a. Well above the standard required of his rank

b. Above the standard required of his rank

c. Well up to the standard required of his rank

d. Up to the minimum standard required of his rank

e. Below the standard required of his rank

SARO V. DAIKIN

11 COMMENTS: [Comment on the strengths and weaknesses observed and any factors affecting the soldier's service during the reporting period. Record any participation in unit activities and note any duties performed other than normally associated with the posting.]

12. Irrespective of present qualifications or PES, do you consider that this soldier is ready for promotion to the next substantive rank? (Para 9, Part 7 refers)

Page No :-

13. Do you consider this soldier suitable for employment?

- | Other variables for employment |                                  |
|--------------------------------|----------------------------------|
| a                              | with the Army Apprentices School |
| b                              | with the CMC - ARESI             |
| c                              | as a recruiter                   |
| d                              | as an instructor                 |
| e                              | with a recruit training unit     |
| f                              | with school cadets               |
| g                              | Other (specify)                  |

14 What employment do you recommend this soldier to be given next? (Page 10, Part 7 refers.)

15 What training/development do you recommend for this soldier? (Page 11, Part 7 refers)

16. Are there any factors which would restrict this soldier's next posting?

**17. Assessing Officers Particulars**

| Surname   | Rank | Appointment | Army Number |
|-----------|------|-------------|-------------|
|           |      |             |             |
| Signature |      |             | Date        |

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**PART 4 - COMMANDING OFFICER'S REPORT** To be completed by the Commanding Officer (or equivalent) personally. (Para 12, Part 7 refers.)18. I know this soldier's work performance **VERY WELL WELL ADEQUATELY**19. PROMOTION TO LANCE CORPORAL \* Promotion of this soldier to lance corporal is approved (tick box) 

20. PROMOTION TO CORPORAL \* Promotion of this soldier to the substantive/provisional/temporary\* rank of Corporal is/tick one box)

Approved Recommended   
(No unit vacancy)Not recommended 

21. PROMOTION TO SERGEANT AND ABOVE \*

- a. This soldier is not recommended for promotion/tick if applicable and state your reasons in para 23/
- b. This soldier is recommended for promotion to substantive/provisional/temporary\* (tick box)

SGT SSGT WO2 WO1 

- NOTES: 1. Recommendations are to ignore time in rank, qualifications and unit vacancies and should be based on the Commanding Officer's assessment of the soldier's merit.
2. Depending upon ECN, substantive SGT may be recommended for promotion to SSGT and/or WO2. This requirement for both recommendations is mandatory for Annual Reports.
3. A soldier qualified for the next substantive rank and recommended for temporary promotion on an Annual Report will not be considered in the Annual Promotion Series.
4. Reasons in support of a recommendation for temporary or provisional promotion are to be included in para 23.

22. UNSATISFACTORY PERFORMANCE. This soldier is unsatisfactory in his present rank/tick if applicable and state your reasons in para 23) 

23. ADDITIONAL REMARKS (Para 13, Part 7 refers.) If you have anything further to add or if you disagree with any of the gradings, assessments, recommendations and comments in Part 3, then make the change in RED ink and/or complete para 23.

## 24. CO'S PARTICULARS

|           |      |                  |             |
|-----------|------|------------------|-------------|
| Surname   | Rank | Appointment      | Army Number |
|           |      |                  |             |
| Signature | Date | STD Telephone No |             |

25. ELECTION BY SOLDIER (Para 14, Part 7 refers.) Do you wish to make a written submission on this report? If yes, attach a copy of your submission to this report.

YES/NO 

Signature of Soldier

Date

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## PART 5 - HEAD OF CORPS

26. Do you endorse the promotion recommendation made in para 21?  
If not what is your recommendation?

 YES  NO

27. Is the member in position for promotion?

 YES  NO

28. Insert in order of priority, ECNs in which the soldier is to be considered for promotion

 1. 2. 3.

29. Additional Remarks:

.....  
.....  
.....

30.

| Name      | Rank  | Appointment | STD Telephone No |
|-----------|-------|-------------|------------------|
| <hr/>     | <hr/> | <hr/>       | <hr/>            |
| Signature |       | Date        |                  |

## PART 6 - DPE/CARO

Register No Promotion  
ECN 1 Target  
Rank Promotion  
ECN 2 Target  
Rank Category Subjects Required  
for Promotion 1 2 3 4 

Initials .....

Date .....

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## PART 7 - CONFIDENTIAL REPORT - SOLDIERS (PR 66) INSTRUCTIONS FOR COMPLETION

## GENERAL

1. PURPOSE OF REPORTING. Confidential Reports play a vital part in a soldier's career. Honest and accurate reports are essential, not only to the soldier himself, but also in the interests of the Army as a whole.
2. ROLES OF PR 66. The roles of the PR 66 are:
  - a. To assess the soldier's suitability to be promoted.
  - b. To assess the soldier's suitability to fill various positions.
  - c. To determine the soldier's training and development needs to prepare the member for future promotion and postings.
3. SECURITY. The PR 66 is a STAFF-IN-CONFIDENCE document and is to be handled in accordance with the Security Manual. Access to the report is to be restricted to authorised personnel who are to observe the confidentiality of the information in the report.
4. COPIES. Units are NOT to retain a file copy of the report.

## SUBMITTING THE REPORT

5. Reports are required as follows
  - a. ANNUAL REPORTS. See MPA Vol 1, Chapter 32 for the completion and forwarding of Annual Reports.
  - b. PROMOTION REPORT
    - (1) When a soldier qualifies for substantive promotion to corporal and when a Commanding Officer approves promotion to corporal or lance corporal.
    - (2) When a soldier is recommended for the temporary rank of sergeant and above.
  - c. SPECIAL REPORT. As required and at any time at the discretion of the soldier's Commanding Officer, CARO or Head of Corps.
6. CHANNELS FOR SUBMISSION. Annual Reports are to be submitted to CARO via Head of Corps. Other reports are to be forwarded direct to CARO. (Annual Reports on WRAAC are to be sent to the Sponsor Corps and not OWRAAC.)

## RESPONSIBILITIES OF ASSESSING OFFICERS

7. THE ASSESSING OFFICER. The Assessing Officer is to be nominated by the soldier's Commanding Officer (or equivalent). The senior officer (not normally below the rank of major) responsible for close supervision of the soldier should be nominated as Assessing Officer. In assessing the soldier's performance and making recommendations on his future employment the following points are to be observed:
  - a. PERFORMANCE. Ratings should be based on the observed performance of the soldier in the reporting period and how often certain types of performance occurred and their importance. The Assessing Officer should ask himself "what did the individual do?" NOT "what is the individual like?" Performance in special circumstances should be noted, but an isolated incident must not overly influence the assessment. Relatively minor incidents are often mistakenly given undeserved importance.
  - b. KEEP ITEMS INDEPENDENT. The fact that a soldier rates highly in one activity does not necessarily mean that he rates highly in all duties. There is ample scope for bringing out good and bad points.
  - c. USE OF RATING SCALES. An Assessing Officer should not judge the soldier on the basis of superficial characteristics or how he personally relates to the soldier. Personal likes and dislikes are not a basis for objective and consistent assessment.
8. OVERALL RATING (page 10 of the PR 66). The purpose of this section is to give an overall view of the soldier's performance in his present posting. The descriptions of these ratings are
  - a. WELL ABOVE THE STANDARD REQUIRED OF HIS RANK. This rating is applicable to the soldier who performs his duties and responsibilities with high distinction. It includes the soldier who makes major contributions to the successful outcome of tasks and exercises and who is constantly striving to improve the level of his professionalism. He demonstrates the potential to advance at an accelerated rate in the Army. The use of this rating is for exceptional soldiers.
  - b. ABOVE THE

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## PART 7 (Contd)

## 8. OVERALL RATING (Contd)

- b. ABOVE THE STANDARD REQUIRED OF HIS RANK. This rating applies to the soldier who consistently performs to a standard beyond that expected of his rank. He demonstrates characteristics indicating an ability to fill positions of increased responsibility. He performs his duties and responsibilities with distinction.
  - c. WELL UP TO THE STANDARD REQUIRED OF HIS RANK. This rating covers the soldier who performs his duties and responsibilities to acceptable standards. The member has normal career progression prospects and should advance at a rate commensurate with the majority of his peers.
  - d. UP TO THE MINIMUM STANDARD REQUIRED OF HIS RANK. The soldier given this rating is one who performs his duties to minimal, acceptable standards. The rating includes the soldier who must be kept under scrutiny and/or who requires supervision/guidance to ensure that he completes his duties to acceptable standards. The soldier given this rating will have little prospect for advancement unless there is a significant improvement in his performance.
  - e. BELOW THE STANDARD REQUIRED OF HIS RANK. This rating refers to the soldier who fails to complete his duties to minimal acceptable standards or whose performance, conduct and attitude are unsatisfactory. The soldier is one who fails to heed and act on constructive guidance and counselling or who fails to respond to disciplinary action. This rating will serve notice on the soldier that unless he takes positive action to improve his performance, he could be the subject of a Special Report. The Assessing Officer is to list reasons and factors explaining the soldier's unsatisfactory service in para 11 of the PR 86.
9. IS THE SOLDIER READY FOR PROMOTION (para 12 of PR 86)? The soldier's readiness for promotion is revealed by his training, experience and the strengths and weaknesses in his performance especially the capacity to cope with increased responsibility.
10. RECOMMENDATION FOR FUTURE EMPLOYMENT (para 14 of PR 86). The Assessing Officer is to state the next type of employment (trade and appointment) recommended for the soldier irrespective of the soldier's preferences listed in Part 2 of the report. "Remain in present employment" is generally not an adequate recommendation. The posting recommended for the soldier should challenge, motivate and develop the soldier and contribute to a balanced and progressive career development.
11. RECOMMENDATION FOR TRAINING/DEVELOPMENT (para 15 of PR 86). The training/development the soldier requires to prepare him for his recommended future posting should be listed here.

## RESPONSIBILITIES OF COMMANDING OFFICERS (or equivalent)

12. PROMOTION RECOMMENDATION. The Commanding Officer's approval or recommendation for promotion should be based on the soldier's potential and readiness for higher levels of responsibility. Promotion should NOT be a reward for past good performance. In approving or recommending promotion the Commanding Officer must ask himself three key questions:
- a. Is there anything in the soldier's performance in the reporting period which indicates he would be a poor risk if promoted to a higher rank?
  - b. Has the soldier demonstrated the potential for increased responsibility?
  - c. Is the soldier ready for promotion?
13. REGULAR ARMY SOLDIERS SERVING IN ARMY RESERVE UNITS. The soldier's Army Reserve Commanding Officer is to comment on the report in para 23 of the PR 86.

## THE SOLDIER

14. The soldier is to sight the completed report and sign para 25 acknowledging he has done so.
15. The soldier is to state if he wishes to make a representation on the report. In any submission on the report, the soldier should state his views and substantiate them.
16. The Commanding Officer should record his views on the soldier's submission.

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